U.S. Department of Education
Office of Postsecondary Education
Washington, DC 20202

Fiscal Year 2003

APPLICATION FOR GRANTS UNDER THE UPWARD BOUND (UB) AND THE UPWARD BOUND MATH AND SCIENCE (UBMS) PROGRAMS

(CFDA Numbers: 84.047A & 84.047M)

Form Approved
OMB No. 1840 - 0550, Exp. Date 8/31/2005
ED Form 40-2P

Upward Bound Math and Science (CFDA 84.047M) -- Closing Date: 11/22/2002

Regular and Veterans Upward Bound (CFDA 84.047A) -- Closing Date: 12/13/2002

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Dear Applicant:

Thank you for your interest in applying for a grant under the Upward Bound (UB) and/or Upward Bound Math & Science (UBMS) Programs. This letter highlights some items in the Fiscal Year (FY) 2003 application package that will be important to you in applying for grants under these programs. Please read carefully the entire application package before you prepare your application.

Please note the following provisions:

1. Eligible applicants are institutions of higher education, public and private agencies and organizations, including community and faith-based organizations, or combinations of institutions, agencies and organizations. In exceptional cases, if no other eligible entity is carrying out an UB or UBMS project in the proposed target area, a secondary school is eligible to apply for a grant under these programs. **Individuals are not eligible to apply for funds under these programs.**

2. In an effort to facilitate an effective application evaluation process, all applicants are required to adhere to the **Part III, Program Narrative limitation of 100 pages**. Applications that exceed 100 pages will not be reviewed and will be returned to the applicant. To further expedite the reading process, please follow the format for PART III, Program Narrative in this application booklet. While you are required to submit a signed original application and two copies, your voluntary submission of a **signed original and three copies would help to expedite the review process.**

3. Currently funded UB and UBMS grantees should note that prior experience will be assessed for Program Years 1999-2000, 2000-01 and 2001-02.

4. The Notice Inviting Applications, located on page 3, includes information on an Invitational Priority which strongly encourages applicants for the UB program (excluding Veterans UB and UBMS) to include a plan for identifying and serving higher risk students. Please review the instructions in Part III- Program Narrative on page 45 of this booklet.

5. UB and UBMS applicants are encouraged to describe how the project will use technology in managing the grant and in providing services, information, and assistance to participants.

6. Each applicant must submit a detailed budget and a budget narrative for the first year of the grant and budget summaries for the remaining years. Budget narratives for the remaining years are not required. Grants are awarded for four or five years.

7. The application must be postmarked or hand delivered on or before the deadline date. Detailed mailing instructions are provided in the Application Transmittal Instructions. Applications submitted late will not be accepted. The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to the application will be accepted after the deadline date.

For additional information regarding this application package, please contact Sheryl Wilson or Gaby Watts (UB) and Geraldine Smith (UBMS), Office of Federal TRIO Programs, 1990 K Street, NW, Suite 7000, Washington, DC 20006-8510, ATTN: CFDA 84.047A or 84.047M. Either may be reached by telephone at (202) 502-7600 or by Internet at TRIO@ED.GOV.

PLEASE NOTE THAT THIS IS A COMBINED APPLICATION PACKAGE FOR UB AND UBMS. IF YOU ARE INTERESTED IN APPLYING FOR BOTH PROGRAMS, YOU MUST SUBMIT A SEPARATE APPLICATION FOR EACH.

Best regards,

Wilbert Bryant
Deputy Assistant Secretary
for Higher Education Programs

NOTE:

THE NOTICE FOR INVITING APPLICANTS IS A SEPARATE DOCUMENT.

Federal TRIO Programs
2002 Annual Low Income Levels
(Effective February 2002 Until Further Notice)

Size of Family Unit	48 Contiguous States D.C., and Outlying Jurisdictions	Alaska	Hawaii
1	$13,290	$16,620	$15,300
2	$17,910	$22,395	$20,610
3	$22,530	$28,170	$25,920
4	$27,150	$33,945	$31,230
5	$31,770	$39,720	$36,540
6	$36,390	$45,495	$41,850
7	$41,010	$51,270	$47,160
8	$45,630	$57,045	$52,470

For family units with more than 8 members, add the following amount for each additional family member: $4,620 for the 48 Contiguous States, the District of Columbia and outlying jurisdictions; $5,775 for Alaska; and $5,310 for Hawaii.
The term "low-income individual" means an individual whose family's taxable income for the preceding year did not exceed 150% of the poverty level amount.
The figures shown under family income represent amounts equal to 150% of the family income levels established by the Census Bureau for determining poverty status. The poverty guidelines were published by the U.S. Department of Health and Human Services in the Federal Register, Vol. 67, No. 31, February 14, 2002, pp. 6931-6933.

Instructions for Transmitting Applications

An application for an award must be mailed or hand delivered by the closing date.

Applications Delivered by Mail

An application sent by mail must be addressed to the U.S. Department of Education, Application Control Center, Attention: CFDA Number 84.047A (UB) or 84.047M (UBMS), 400 Maryland Avenue, SW, Washington, DC 20202-4725.

An application must show proof of mailing consisting of one of the following:

(1) A legibly dated U.S. Postal Service Postmark.
(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
(3) A dated shipping label, invoice, or receipt from a commercial carrier.
(4) Any other proof of mailing acceptable to the U.S. Secretary of Education.

If an application is sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

(1) A private metered postmark, or
(2) A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

An applicant is encouraged to use registered or at least first class mail.

Applications Delivered by Hand\Courier Service

An application that is hand delivered must be taken to the U.S. Department of Education, Application Control Center, Room 3633, Regional Office Building #3, 7th and D Streets, SW, Washington, DC.

The Application Control Center will accept deliveries between 8:00 a.m. and 4:30 p.m. (Washington, DC time) daily, except Saturdays, Sundays, and Federal holidays.

Individuals delivering applications must use the D Street Entrance. Proper identification is necessary to enter the building.

In order for an application sent through a Courier Service to be considered timely, the Courier Service must be in receipt of the application on or before the closing date.

Appendix

Intergovernmental Review of Federal Programs

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7W301, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.

The list below, prepared by the U.S. Department of Education is an unofficial version of the State Single Point of Contact (SPOC) List published by the Office of Management and Budget (OMB). The Department has made every effort to ensure the accuracy of the information contained in this unofficial version. It reflects those changes made by OMB as of 08/15/01. The only official and up to date version of the State Single Point of Contact (SPOC) List is posted on the Grants Management section of the OMB web site: **http://www.whitehouse.gov/omb/grants/spoc.html**. You may review and/or download the Adobe pdf (portable document format) version of this document at the aforementioned site. Please include this statement in any reproduction of this unofficial list.

You are strongly encouraged to access the Intergovernmental Review (SPOC List) link to the Grants Management Information section of the OMB web page regularly in the course of completing grant applications to be submitted to your designated State Single Point of Contact (SPOC). If you do not have access to the Internet, please use the list below to contact the office or individual listed in order to confirm the State Single Point of Contact (SPOC).

STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2001, the Federal Government will outlay $305.6 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided on the official version http://www.whitehouse.gov/omb/grants/spoc.html.

States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application material directly to a Federal awarding agency.

Contact information for Federal agencies that award grants can be found in Appendix IV of the Catalog of Federal Domestic Assistance. [http://www.cfda.gov/public/cat-app4-index.htm]

ARKANSAS Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Administration 1515 W. 7th Street, Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 FAX: (501) 682-5206 tlcopeland@dfa.state.ar.us	**CALIFORNIA** Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 FAX: (916) 323-3018 state.clearinghouse@opr.ca.gov
DELAWARE Charles H. Hopkins Executive Department Office of the Budget 540 S. Dupont Highway , 3rd Floor Dover, Delaware 19901 Telephone: (302) 739-3323 FAX: (302) 739-5661 chopkins@state.de.us	**DISTRICT OF COLUMBIA** Luisa Montero-Diaz Office of Partnerships and Grants Development Executive Office of the Mayor District of Columbia Government 414 4th Street, NW, Suite 530 South Washington, DC 20001 Telephone: (202) 727-8900 FAX: (202) 727-1652 opgd.eom@dc.gov
FLORIDA Jasmin Raffington Florida State Clearinghouse Department of Community Affairs 2555 Shumard Oak Blvd. Tallahassee, Florida 32399-2100 Telephone: (850) 922-5438 FAX: (850) 414-0479 clearinghouse@dca.state.fl.us	**GEORGIA** Georgia State Clearinghouse 270 Washington Street, SW Atlanta, Georgia 30334 Telephone: (404) 656-3855 FAX: (404) 656-7901 gach@mail.opb.state.ga.us
ILLINOIS Virginia Bova Department of Commerce and Community Affairs James R. Thompson Center 100 West Randolph, Suite 3-400 Chicago, Illinois 60601 Telephone: (312) 814-6028 FAX: (312) 814-8485 vbova@commerce.state.il.us	**IOWA** Steven R. McCann Division of Community and Rural Development Iowa Department of Economic Development 200 East Grand Avenue Des Moines, Iowa 50309 Telephone: (515) 242-4719 FAX: (515) 242-4809 steve.mccann@ided.state.ia.us
KENTUCKY Ron Cook Department for Local Government 1024 Capital Center Drive, Suite 340 Frankfort, Kentucky 40601 Telephone: (502) 573-2382 FAX: (502) 573-2512	**MAINE** Joyce Benson State Planning Office 184 State Street 38 State House Station Augusta, Maine 04333 Telephone: (207) 287-3261

ron.cook@mail.state.ky.us	Telephone: (207) 287-1461 (direct) FAX: (207) 287-6489 joyce.benson@state.me.us
MARYLAND Linda Janey Manager, Clearinghouse and Plan Review Unit Maryland Office of Planning 301 West Preston Street – Room 1104 Baltimore, Maryland 21201-2305 Telephone: (410) 767-4490 FAX: (410) 767-4480 linda@mail.op.state.md.us	**MICHIGAN** Richard Pfaff Southeast Michigan Council of Governments 535 Griswold, Suite 300 Detroit, Michigan 48226 Telephone: (313) 961-4266 FAX: (313) 961-4869 pfaff@semcog.org
MISSISSIPPI Cathy Mallette Clearinghouse Officer Department of Finance and Administration 1301 Woolfolk Building, Suite E 501 North West Street Jackson, Mississippi 39201 Telephone: (601) 359-6762 FAX: (601) 359-6758	**MISSOURI** Carol Meyer Teresa Kirchhoff Federal Assistance Clearinghouse Office of Administration P.O. Box 809 Truman Building, Room 840 Jefferson City, Missouri 65102 Telephone: (573) 751-4834 FAX: (573) 522-4395 meyerc@mail.oa.state.mo.us kirchhofft@mail.oa.state.mo.us
NEVADA Heather Elliott Department of Administration State Clearinghouse 209 E. Musser Street, Room 200 Carson City, Nevada 89701 Telephone: (775) 684-0209 FAX: (775) 684-0260 Helliot@govmail.state.nv.us	**NEW HAMPSHIRE** Jeffrey H. Taylor Director New Hampshire Office of State Planning Attn: Intergovernmental Review Process Mike Blake 2½ Beacon Street Concord, New Hampshire 03301 Telephone: (603) 271-2155 FAX: (603) 271-1728 Jtaylor@osp.state.nh.us
NEW MEXICO Ken Hughes Local Government Division Room 201, Bataan Memorial Building Santa Fe, New Mexico 87503 Telephone: (505) 827-4370 FAX: (505) 827-4948 khughes@dfa.state.nm.us	**NORTH CAROLINA** Jeanette Furney Department of Administration 1302 Mail Service Center Raleigh, North Carolina 27699-1302 Telephone: (919) 807-2323 FAX: (919) 733-9571 jeanette.furney@ncmail.net
NORTH DAKOTA Jim Boyd Division of Community Services 600 East Boulevard Ave, Dept 105	**RHODE ISLAND** Kevin Nelson Department of Administration Statewide Planning Program

Bismarck, North Dakota 58505-0170 Telephone: (701) 328-2094 FAX: (701) 328-2308 jboyd@state.nd.us	One Capitol Hill Providence Rhode Island 02908-5870 Telephone: (401) 222-2093 FAX: (401) 222-2083 knelson@doa.state.ri.us
SOUTH CAROLINA Omeagia Burgess Budget and Control Board Office of State Budget 1122 Ladies Street – 12th Floor Columbia, South Carolina 29201 Telephone: (803) 734-0494 FAX: (803) 734-0645 aburgess@budget.state.sc.us	**TEXAS** Denise S. Francis Director, State Grants Team Governor's Office of Budget and Planning P.O. Box 12428 Austin, Texas 78711 Telephone: (512) 305-9415 FAX: (512) 936-2681 dfrancis@governor.state.tx.us
UTAH Carolyn Wright Utah State Clearinghouse Governor's Office of Planning and Budget State Capitol, Room 114 Salt Lake City, Utah 84114 Telephone: (801) 538-1535 FAX: (801) 538-1547 cwright@gov.state.ut.us	**WEST VIRGINIA** Fred Cutlip, Director Community Development Division West Virginia Development Office Building #6, Room 553 Charleston, West Virginia 25305 Telephone: (304) 558-4010 FAX: (304) 558-3248 fcutlip@wvdo.org
WISCONSIN Jeff Smith Section Chief, Federal/State Relations Wisconsin Department of Administration 101 East Wilson Street – 6th Floor P.O. Box 7868 Madison, Wisconsin 53707 Telephone: (608) 266-0267 FAX: (608) 267-6931 jeffrey.smith@doa.state.wi.us	**AMERICAN SAMOA** Pat M. Galea'i Federal Grants/Programs Coordinator Office of Federal Programs Office of the Governor/Department of Commerce American Samoa Government Pago Pago, American Samoa 96799 Telephone: (684) 633-5155 Fax: (684) 633-4195 pmgaleai@samoatelco.com

GUAM	PUERTO RICO
Director Bureau of Budget and Management Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: 011-671-472-2285 FAX: 011-671-472-2825 jer@ns.gov.gu	Jose Caballero / Mayra Silva Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940-1119 Telephone: (787) 723-6190 FAX: (787) 722-6783
NORTHERN MARIANA ISLANDS	**VIRGIN ISLANDS**
Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: (670) 664-2289 FAX: (670) 664-2272 omb.jseman@saipan.com	Ira Mills Director, Office of Management & Budget # 41 Norre Gade Emancipation Garden Station, Second Floor Saint Thomas, Virgin Islands 00802 Telephone: (340) 774-0750 FAX: (787) 776-0069 Irmills@usvi.org

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to grants@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, NW
Washington, DC 20503

Please note: Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance (CFDA) [http://www.cfda.gov/].

Supplemental Information

INTRODUCTION: The following information supplements the information provided in the "Dear Applicant" letter, the "Notice Inviting Application for New Awards," and the remainder of this application booklet.

A. Criteria and Priority for Funding

All applications for funding under the UB or UBMS Programs will be evaluated as *new submissions* according to the selection criteria listed in Section 645.31 of the program regulations. UB and UBMS projects currently funded for program years 1999-2003 are eligible to receive up to 15 points for prior experience.

B. Regulations applicable to the Upward Bound Programs are:

(a) Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 79, 80, 82, 85 and 86; and

(b) UB Program Regulations (34 CFR Part 645) are included in this application package. Applicants for UBMS should note 34 CFR 645.13. Veterans Upward Bound applicants should note 34 CFR 645.14.

C. Eligible Applicants

Institutions of higher education; public or private agencies or organizations; or combinations of institutions, agencies, and organizations. Secondary schools are eligible if no institution, agency, or organization is capable of carrying out an UB or UBMS project in the target area.

D. Eligible Participants

UB and UBMS Projects serve individuals who are citizens or nationals of the United States; permanent residents of the United States; in the United States for other than a temporary purpose who provide evidence from the Immigration and Naturalization Service of his or her intent to become a permanent resident; permanent residents of Guam, the Northern Mariana Islands, or the Trust Territory of the Pacific Islands, or residents of the Freely Associated States--the Federated States of Micronesia or the Republic of the Marshall Islands, or the Republic of Palau.

UB projects may serve an individual who is: (1) a potential first-generation college student or a low-income individual; (2) has a need for academic support, as determined by the grantee, in order to successfully pursue postsecondary education; and (3) at the time of initial selection, has completed the eighth grade but has not entered the twelfth grade and is at least 13 years old but not older than 19. The Secretary may waive the age requirement if the applicant demonstrates the limitation would defeat the purposes of the UB Program.

A veteran, regardless of age, is eligible to participate in any UB project if he or she satisfies the eligibility requirements.

E. Assurances and Certifications

1. Applicants must submit a signed copy of the UB assurances with the application.

2. All applicants must include information in their applications to address the new provisions in Section 427 of the Department of Education's General Education Provisions Act (GEPA). Refer to the section entitled "Notice to All Applicants" for specific information.

3. Applicants should also submit other Department of Education certifications with the application. Signed copies of the following must be included in the application: (1) Standard Form 424B (Assurances-Non-Construction Programs); (2) ED Form 80-0013 (Certification Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters, and Drug-Free Workplace Requirements); (3) ED Form 80-0014 (Certification Regarding Ineligibility and Voluntary Exclusion: Lower Tier Covered Transactions; and (4) Standard Form LLL (Disclosure of Lobbying Activities). Copies of these forms are included in this application booklet.

F. Information on the Awards Process

1. Length of New Awards

   Applicants for new awards may apply for a maximum of five years of funding. However, only applicants that score in the highest ten percent of all applicants approved for funding will be awarded five-year grants. Other successful applicants will be given four-year grant awards (refer to 34 CFR 645.34)

2. Evaluation of Applications for New Awards

   Each application is reviewed by a panel of three non-Federal experts. Each reviewer prepares a written evaluation of the application and assigns points for each selection criterion. In addition, program staff review the applicant's prior experience, if applicable, and assign prior experience points on the basis of the criteria published in 34 CFR 645.32. These evaluations serve as the sole basis for preparing a rank order of the application.

3. Partnership Agreements

   The Department of Education is often unable to award the full amount of funds requested. The amount of funds to be awarded will be based on the appropriateness of the expenditures, the reasonableness of the costs, and the need for the services described in the application. The reader's comments are also taken into account and partnership agreements will be developed with successful applicants. The partnership agreement is a means of reconciling the difference between the amount requested, the services proposed, the amount awarded, and the services to be provided.

4. Notice to Successful Applicants

   The Office of Legislation and Congressional Affairs in the Department of Education will notify the appropriate members of Congress regarding the award.

Notification to the applicant will be mailed one week after the Congress is notified. No funding information is released before the Congress is notified.

5. Notice to Unsuccessful Applicants

Unsuccessful applicants will be notified in writing following the notice to successful applicants.

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0007.** The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, SW (Room 3652, GSA Regional Office Building No. 3). Washington, DC 20202-4248.

NOTICE TO APPLICANTS:
THE GOVERNMENT PERFORMANCE AND RESULT ACT (GPRA)

What is GPRA?

The Government Performance and Results Act of 1993 (GPRA) is a statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

How has the Department of Education Responded to the GPRA Requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

Goal 1:Create a culture of achievement.
Goal 2:Improve student achievement.
Goal 3:Develop safe schools and strong character.
Goal 4:Transform education into an evidence-based field.
Goal 5:Enhance the quality of and access to postsecondary and adult education.
Goal 6:Establish management excellence.

The performance indicators for the UB program are part of the Department's plan for meeting Goal 5: Ensure access to postsecondary education and lifelong learning. Among the Department's objectives, Goal 5 is that "secondary school students get information, and provide mentoring and academic support to master the knowledge needed to get into and complete postsecondary education."

What are the Performance Indicators for the UB Program?

The Department's specific goal for the Federal TRIO Programs is "to increase participation and completion rates of disadvantaged persons through the academic pipeline." The specific performance indicators for the UB program are as follows:

(1) UB participants will complete high school at higher rates than comparable non-participants;

(2) UB participants will enroll in postsecondary education programs at higher rates than comparable non-participants; and

(3) UB participants who enroll in postsecondary education will complete two or four year postsecondary education programs at rates higher than comparable non-participants.

Instructions for Completing the Application and Forms

The application is divided into five parts. These parts are organized in the same manner that the submitted application should be organized. The sections are as follows:

Part I: Application for Federal Education Assistance Form

Part II: Budget Summary and Budget Narrative

Part III: Program Narrative

Part IV: Program Assurances

Part V: Prior Experience

No grants may be awarded unless a completed application has been received.

Mail **original** and **three copies** of the application to:

U.S. Department of Education
Application Control Center
Attention: (UB CFDA #84.047A or UBMS CFDA # 84.047M)
400 Maryland Avenue, SW
Washington, DC 20202-4725

OR

Hand/Courier Delivery of the **original** and **three** copies of the application to:

U. S. Department of Education
Application Control Center
Attention: (UB CFDA #: 84.047A or UBMS CFDA# 84.047M)
Room 3633, Regional Office Building #3
7th and D Streets, SW
Washington, DC 20202-4725

According to the Paperwork Reduction Act of 1995, any collection of information must display a valid OMB control number. The valid OMB control number for this information collection is 1840-0550. The time required to complete this information collection is estimated to average 34 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. **If you have any comments concerning the accuracy of this time estimates or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, DC 20202-4651**. If you have comments or concerns regarding the status of your individual submission of the form, write directly to:** The Office of Federal TRIO Programs, U.S. Department of Education, 400 Maryland Avenue, SW, (1990 K Street, NW, 7th Floor) Washington, DC 20202-4651.

Application for Federal Education Assistance

Note: If available, please provide application package on diskette and specify the file format

U.S. Department of Education

Applicant Information

Organizational Unit

1. Name and Address
Legal Name: ____________________

Address: ____________________

____

City State County ZIP Code + 4

PR/Award Number (Current UB or UBMS Grantees Only)
P047A ___ ___ ___ ___ ___ **P047MA** ___ ___ ___ ___ ___
Multiple Applications Yes ____ No _____ How many? ____

________ - ________

2. Applicant's D-U-N-S Number:|___|___|___|___|___|___|___|___|___| Title:____________________

4. Catalog of Federal Domestic Assistance #: **84.**__|__|__|__| ➔ ____________________

5. Project Director: ____________________

Address:____________________

City State Zip code + 4
Tel. #: ( ) _______-_______ Fax #: ( )_______-________

E-Mail Address :____________________

6. Is the applicant delinquent on any Federal debt?__Yes__No
(If "Yes," attach an explanation.)

7. Type of Applicant *(Enter appropriate letter in the box.)* |_____|

A - Public Institution of Higher Education
B - Private Institution of Higher Education
C - Agency, Organization, or Association
D - Combination of Above
E - Secondary School

8. Novice Applicant ___Yes ____ No

Application Information

9. Type of Submission:

PreApplication
____Construction
____Non-Construction

-Application
____Construction
____Non-Construction

10. Is application subject to review by Executive Order 12372 process?
____ Yes (*Date made available to the Executive Order 12372 process for review)*: ____/____/_____

____ No *(If "No," check appropriate box below.)*
____ Program is not covered by E.O. 12372.
____ Program has not been selected by State for review.

11. Proposed Project Dates: ____/____/_____ ____/____/______
Start Date: **End Date:**

12. Are any research activities involving human subjects planned at any time during the proposed project period? ___Yes ___No

a. If "Yes," Exemption(s) #:
b. Assurance of Compliance #:

____________________ ***OR*** ____________________

c. IRB approval date: ____ Full IRB **or**
____________________ ____ Expedited Review

13. Proposed Number of Participants:

A. Low-Income + First-Generation:
B. Low-Income Only
C. First-Generation Only
D. Other
E. Total

Estimated Funding

14a. Federal $ ________________. 00
b. Applicant $ ________________. 00
c. State $ ________________. 00
d. Local $ ________________. 00
e. Other $ ________________. 00
f. Program Income $ ________________. 00

g. TOTAL $ ________________. 00

Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Typed Name of Authorized Representative

____

b. Title: ____________________

c. Tel. #: ( ) ________-____________ Fax #: ( ) ________-____________

d. E-Mail Address: ____________________

e. Signature of Authorized Representative

____________________ Date:___/____/______

Instructions for ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.

2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: **http://www.dnb.com/dbis/aboutdb/intlduns.htm.**

3. **Tax Identification Number.** Enter the tax identification number as assigned by the Internal Revenue Service.

4. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested.

5. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

6. **Federal Debt Delinquency.** Check **"Yes"** if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check **"No."**

7. **Type of Applicant.** Enter the appropriate letter in the box provided.

8. **Novice Applicant.** Check **"Yes"** only if assistance is being requested under a program that gives special consideration to novice applicants and you meet the program requirements for novice applicants. By checking "Yes" the applicant certifies that it meets the novice applicant requirements specified by ED. Otherwise, check **"No."**

9. **Type of Submission.** Self-explanatory.

10. **Executive Order 12372.** Check **"Yes"** if the application is subject to review by Executive Order 12372. Also, please enter the month, date, and four (4) digit year (e.g., 12/12/2000). Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Otherwise, check **"No."**

11. **Proposed Project Dates.** Please enter the month, date, and four (4) digit year (e.g., 12/12/2000).

12. **Human Subjects.** Check "Yes" **or** "No". If research activities involving human subjects are **not** planned **at any time** during the proposed project period, check **"No." The remaining parts of item 12 are then not applicable.**

    If research activities involving human subjects, whether or not exempt from Federal regulations for the protection of human subjects, **are** planned **at any time** during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution, check **"Yes."** If **all** the research activities are designated to be exempt under the regulations, enter, in item 12a, the exemption number(s) corresponding to one or more of the six exemption categories listed in **"Protection of Human Subjects in Research"** attached to this form. Provide sufficient information in the application to allow a determination that the designated exemptions in item 12a, are appropriate. **Provide this narrative information in an "Item 12/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page. Skip the remaining parts of item 12.**

    If **some or all** of the planned research activities involving human subjects are covered (nonexempt), skip item 12a and continue with the remaining parts of item 12, as noted below. In addition, follow the instructions in **"Protection of Human Subjects in Research"** attached to this form to prepare the six-point narrative about the nonexempt activities. **Provide this six-point narrative in an "Item 12/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page.**

    If the applicant organization has an approved Multiple Project Assurance of Compliance on file with the Grants Policy and Oversight Staff (GPOS), U.S. Department of Education, or with the Office for Protection from Research Risks (OPRR), National Institutes of Health, U.S. Department of Health and Human Services, that covers the specific activity, enter the Assurance number in item 12b and the date of approval by the Institutional Review Board (IRB) of the proposed activities in item 12c. This date must be no earlier than one year before the receipt date for which the application is submitted and must include the four (4) digit year (e.g., 2000). Check the type of IRB review in the appropriate box. An IRB may use the expedited review procedure if it complies with the requirements of 34 CFR 97.110. If the IRB review is delayed beyond the submission of the application, enter **"Pending"** in item 12c. If your application is recommended/selected for funding, a follow-up certification of IRB approval from an official signing for the applicant organization must be sent to and received by the designated ED official within 30 days after a specific formal request from the designated ED official. **If the applicant organization does not have** on file with GPOS or OPRR **an approved Assurance of Compliance** that covers the proposed research activity, enter **"None"** in item 12b and skip 12c. In this case, the applicant organization, by the signature on the application, is declaring that it will comply with 34 CFR 97 within 30 days after a specific formal request from the designated ED official for the Assurance(s) and IRB certifications.

13. **Project Title.** Enter the number of participants who are low income and first-generation, low-income, first generation, other and the total of all participants to be served. Two-

thirds of all participants must be low-income potential first-generation college students. The remaining one-third may be any eligible participants.

14. Estimated Funding. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

15. Certification. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office.

Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, date, and four (4) digit year (e.g., 12/12/2000) in the date signed field.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1875-0106**. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725

Protection of Human Subjects in Research
(Attachment to ED 424)

I. Instructions to Applicants about the Narrative Information that Must be Provided if Research Activities Involving Human Subjects are Planned.

If you marked item 12 on the application "Yes" and designated exemptions in 12a , **(all research activities are exempt),** provide sufficient information in the application to allow a determination that the designated exemptions are appropriate. Research involving human subjects that is exempt from the regulations is discussed under **II.B. "Exemptions,"** below. The Narrative must be succinct. **Provide this information in an "Item 12/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page.**

If you marked "Yes" to item 12 on the face page, and designated no exemptions from the regulations **(some or all of the research activities are nonexempt),** address the following six points for each nonexempt activity. In addition, if research involving human subjects will take place at collaborating site(s) or other performance site(s), provide this information before discussing the six points. Although no specific page limitation applies to this section of the application, be succinct. Provide the six-point narrative and discussion of other performance sites in an **"Item 12/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page.**

(1) Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

(2) Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

II. Information on Research Activities Involving Human Subjects

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Is it a research activity?

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge, such as an exploratory study or the collection of data to test a hypothesis, it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Is it a human subject?

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human* *subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the only involvement of human subjects will be in one or more of the following six categories of ***exemptions*** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, this exemption applies only to research involving educational tests or observations of public behavior when the investigator(s) do not participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S Department of Agriculture.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff (GPOS) Office of the Chief Financial and Chief Information Officer, U.S. Department of Education, Washington, D.C., telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at http://ocfo.ed.gov/humansub.htm.

Part II – Instructions for Budget Summary and Budget Narrative

Form 524, Section A & B-- Budget Summary: U.S. Department of Education Requested Funds

Please use the summary budget form (ED Form No. 524, Sections A and B) to categorize requested costs and non-federal commitment of funds, if any. The detailed budget and any accompanying narrative should provide a detailed breakdown of costs within each budget category and explain the basis for determining the amounts needed for personnel, staff travel, and any other costs appropriate for the project.

For this competition, applicants may request funding for up to five years (60 months). The Department requires that all applicants for multi-year awards provide detailed budget information for the total grant period requested.

The funding request may include all costs that are reasonable and associated with carrying out the objectives of UB and UBMS Programs. Among the costs that may be supported with grant funds are:

1. **<u>Personnel</u>:** Enter project personnel salaries and wages only.

2. **<u>Fringe Benefits</u>:** The institutions normal fringe benefit contribution may be charged to the program. If benefits exceed twenty percent **(20%),** an explanation and justification must be provided. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost.

3. **<u>Travel</u>:** Indicate travel of employees only. Travel of consultants and participants may not be included in this category, but should be included in the "Other" category on line E.

4. **<u>Supplies</u>:** Show all tangible personal property except that which is included on line H.

5. **<u>Other</u>:** Indicate all direct costs not covered on lines 1-4 or 8-12. Examples are: equipment rental, consultant costs, communication costs, rental of space (when not included in the indirect cost pool), and consultant and participant travel.

6. **<u>Total Direct Costs</u>:** The sum of lines 1-5. This is the modified total direct cost base, which excludes the following items:

- equipment (i.e., equipment of $5,000 or more per unit)
- room and board
- summer non-residential meals
- tuition and related fees, and
- training stipends for students

7. **<u>Indirect Costs</u>:** Indirect costs are limited to eight percent **(8%)** of a modified total direct cost base -- see 34 CFR 75.562(c). *(Exception: Federally recognized Indian Tribes, tribal governments, and agencies of State or local governments, including LEAs (school districts) may exceed the 8% limit on indirect costs.)*

8. **<u>Equipment</u>:** Indicate the cost of non-expendable personal property which has a usefulness of greater than one year and an **acquisition cost of $5,000 or more per unit**. (See the definition of equipment under 34 CFR 74.2.) Lower limits may be established to maintain consistency with the applicant's policy.

9. **<u>Training Stipends</u>:** Include student stipends. See the program regulations, 34 CFR 645.42(d) which establishes stipend amounts.

10. **<u>Tuition and Related Fees</u>**

11. **<u>Room and Board</u>:** For projects with a residential component.

12. **<u>Summer Non-residential Meals</u>**

13. **<u>Total Costs</u>:** This should equal the sum of lines 6 through 12. This amount should also be equal to item **14a** on the application face sheet.

U.S. DEPARTMENT OF EDUCATION **BUDGET INFORMATION** **NON-CONSTRUCTION PROGRAMS**	OMB Control Number: 1890-0004 Expiration Date: 02/28/2003
Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Supplies						
5. Other						
6. Total Direct Costs						
7. Indirect Costs						
8. Equipment						
9. Training Stipends						
10. Tuition/ Related Fees						
11. Room and Board						
12. Summer Non-residential Meals						
13. Total Costs						

Instructions for preparing the budget narrative

In the descriptive budget narrative, explain amounts for individual direct object cost categories that may appear to be out of the ordinary and explain the following details:

Personnel Salaries. Include a statement which shows the total commitment of time and the total salary to be charged to the project for each key member of the project staff. Provide a breakdown of project personnel that includes the position title, the percent of time and number of months committed to the project, and the total salary to be charged to the grant.

Fringe Benefits. Include an explanation and appropriate justification if the institution's normal benefit contribution exceeds 20 percent.

Staff Travel expenditures should be detailed as to purpose, objective, and number of persons involved (i.e., attendance at Special Programs conferences, staff development, etc.).

Transportation costs should not exceed tourist class air fare. For automobile mileage, the established institution or agency rate should be used. Reimbursement is allowed for taxicab, bus, train, or limousine transportation. Per diem at the established institutions or agency rate is permitted when an individual is away from home over night (24 hours) on official project business. (See OMB Circular A-21, J.48.c Commercial Air Travel.)

No foreign travel will be authorized under the grant.

The Department of Education has established the following guidelines for recommending approval of staff travel. All staff travel for professional development must be directly related to the project's overall purpose and proposed activities and **should not exceed four percent of the total project salaries**. The Department may adjust this percentage if the applicant demonstrates and the Department agrees that a higher percentage is necessary and reasonable.

I. Project Director's Travel - Per Year

   A. One National Conference;
   B. One Regional Meeting;
   C. One State Meeting; and
   D. Travel for staff development under the Training Program for Federal TRIO Programs.

II. Full-time Professional Staff Travel - Per Year

   A. One Regional Meeting, One State Meeting or One National Meeting; and
   B. Travel for staff development under the Training Program for Federal TRIO Programs.

Equipment: List items of equipment in the following format: Item, Number of Items, Cost per Unit, Total Cost. Equipment must be necessary to carry out project activities and must be fully justified. *(Please remember that equipment is defined as non-expendable personal property which has a usefulness of greater than one year and an acquisition cost of $5,000 or more per unit.)*

Supplies: Itemize costs for project supplies.

Other: Student and other travel expenditures should be detailed as to purpose, objective, and number of persons involved in each activity. All educational and cultural trips and activities planned must be related specifically to a project objective. Further, the combined cost of all proposed educational and cultural trips (inclusive of transportation costs, meals, and entrance fees) should not exceed $300 per participant or 8% of the budget whichever is less. The Department may adjust this percentage if the applicant demonstrates and the Department agrees that a higher amount is necessary and reasonable.

Indirect Cost: Indirect costs are limited to eight percent (8%) of a modified total direct cost base (refer to section 75.562 (c) of the Education Department General Administrative Regulations (EDGAR).

Part III -- Program Narrative

Prepare the program narrative statement in accordance with the instructions for all new grants in the Education Department General Administrative Regulations (EDGAR) in 34 CFR Part 75, Subpart C-How to Apply for a Grant. The applicant is encouraged to include a one page abstract of the proposed project.

If an applicant is proposing to address the Invitational Priority for identifying and serving higher risk students, the applicant is strongly encouraged to include a plan for targeting higher risk students when addressing the selection criteria.

The Secretary evaluates an application on the basis of the criteria in Section 645.31 of the UB program regulations. The program narrative should provide in detail the information which addresses each selection criterion. The maximum possible score for each completed criterion is indicated in parentheses next to the criterion. The applicant is urged to address the selection criteria in the following order:

1.	Need for the Project (645.31 (a) (1), (2) and (3))	(24 points)
2.	Objectives (Section 645.31(b))	(9 points)
3.	Plan of Operation (Section 645.31(c))	(30 points)
4.	Applicant & Community Support (Section 645.31(d))	(16 points)
5.	Quality of Personnel (Section 645.31(e))	(8 points)
6.	Evaluation Plan (Section 645.31(g))	(8 points)
7.	Budget (Section 645.31(f))	(5 points)
Total Maximum Score for Selection Criteria		**100 points**

The above order is suggested since this is the order non-Federal reviewers will be using when evaluating the applications.

Part III – Program Narrative of the application <u>cannot exceed one hundred (100) typed, double spaced pages.</u> *See Notice Inviting Applications on Page 3.*

Additional Suggestions--

- Number each page of the application.
- The Application for Federal Education Assistance Form (ED 424) is the first page of the application.
- **Do not bind the original application.** The remaining three copies may be bound, since they are the field reader copies.

- **Do not** include descriptive materials (brochures, reports, etc.) which are not requested.

Definitions

A. An "individual with disabilities" means a person who has a diagnosed physical or mental impairment that substantially limits that person's ability to participate in the education experiences and opportunities offered by the grantee institution.

B. A "low-income individual" means an individual whose family's taxable income did not exceed 150 percent of the poverty level in the calendar year proceeding the year in which the individual participated in the project.

C. A "first-generation college student" means:

1. A student neither of whose natural or adoptive parents received a baccalaureate degree; or

2. A student, who resided with and received support from only one parent, and whose parent did not receive a baccalaureate degree.

Part IV --
Upward Bound and Upward Bound Math & Science Program Assurances

34 CFR section 645.21 of the regulations require that the applicant comply with the following provisions:

- The applicant assures that at least two-thirds of the individuals the applicant proposes to serve under the UB or UBMS project will be low-income individuals who are potential first generation college students.

- The applicant assures that the remaining participants will be either low-income or potential first generation college students.

The person or persons whose signature(s) appear(s) below is/are authorized to sign this application, and to commit the applicant to the above provisions for the entire period of the grant.

____
Date

____
Authorized Official(s)

____
Name of Applicant Institution

____
Street Address

____
City, State, Zip Code

OMB Approval Number: 1840-0550
Expiration Date: 03/31/2001
ED Form 40-2P

Part V -- Prior Experience

This part is to be completed only by those applicants who have been funded within the FY 1999 – FY 2003 grant cycle. This grant cycle started June 1, 1999 for four-year awards and June 1, 2000 for five-year awards.

If an applicant for a new grant proposes to continue to serve substantially the same population or campus, that the applicant is serving under the expiring grant, the Secretary evaluates the applicant's prior experience in delivering services under the expiring grant on the basis of the prior experience criteria in 34 CFR section 645.32 of the program regulations. If the applicant has submitted the annual performance reports, the applicant needs only to provide the information needed to evaluate the applicant's prior experience that is not covered by the performance reports. **Based on the success of the projects' prior experience, an applicant may receive up to fifteen (15) points**.

NOTE:

For Program Years 1999-2000 and 2000-2001:

The due date for submitting performance reports for these years is now past. No changes or modifications to the information on file with the Department will be accepted.

For Program Years 2001-2002:

The applicant should submit a detailed report on the projects' accomplishments to date, which specifically reports information that addresses each of the prior experience criteria contained in section 645.32 (Prior Experience) of the Upward Bound Program regulations.

Important Notice to Prospective Participants in U.S. Department of Education Contract and Grant Programs